

ORDER

1340.1C

REPORTS MANAGEMENT SYSTEM

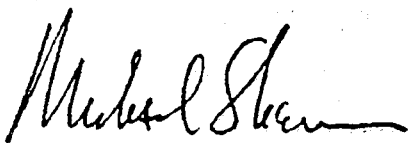


June 6, 1989

**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION**

FOREWORD

This order is prepared in accordance with the requirements set forth in the Federal Information Resources Management Regulation (FIRMR), section 201-45.103 for Reports Management. It sets forth guidelines, standards, and procedures, and indicates areas of responsibility for the management of internal recurring, interagency, and public information collection activities (reports) initiated in the FAA.



Michael D. Sherwin
Director of Management Systems

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TABLE OF CONTENTS

CHAPTER 1. GENERAL

1-1. Purpose.....	1-1
1-2. Distribution	1-1
1-3. Cancellation.....	1-1
1-4. Explanation of Changes.....	1-1
1-5. Definitions.....	1-1
1-6. Forms.....	1-2

CHAPTER 2. REPORTS MANAGEMENT SYSTEM

2-1. General	2-1
2-2. Reports Included in the Reports Management System	2-1
2-3. Reports Exempted From the Reports Management System	2-1
2-4. Responsibilities	2-2
2-5. Functions	2-2

CHAPTER 3. STANDARDS AND PROCEDURES FOR CLEARANCE OF FAA INTERNAL REPORTS

3-1. General	3-1
3-2. Standards for Reports	3-1
3-3. Procedures for the Initiation and Clearance of FAA Headquarters Reports.....	3-2
3-4. Identification of FAA Internal Reports.....	3-3
3-5. Clearance Procedures for the Regions and Centers	3-3

CHAPTER 4. REVALIDATION AND EVALUATION OF REPORTS AND THE REPORTS PROGRAM

4-1. General	4-1
4-2. Procedures for Revalidation	4-1
4-3. Evaluation of the Reports Program.....	4-1

CHAPTER 5. THE PAPERWORK REDUCTION ACT OF 1980--PUBLIC REPORTS PROGRAM

5-1. General	5-1
5-2. Contracting Organizations	5-1
5-3. Procedures for Clearance of Reporting and Recordkeeping Requirements Under the Paper Reduction Act of 1980.....	5-1
5-4. Information Collection Budget.....	5-2
5-5. Notice of Proposed Rulemaking with Recordkeeping and Reporting Requirements	5-2
5-6. Office of Management and Budget Circulars.....	5-3
5-7. Cancellation of Reporting and Recordkeeping Requirements	5-3
5-8. Preparation of Standard Form 83.....	5-3
5-9. Evidence of OMB Clearance of Reporting and Recordkeeping Requirements	5-3

CHAPTER 6. INTERAGENCY REPORTS AND REPORTS REQUESTED FROM THE FAA BY OTHER AGENCIES

6-1. General	6-1
6-2. Interagency Report.....	6-1

6-3. Reports Requested by Other Government Agencies from the FAA	6-1
--	-----

CHAPTER 7. CATALOG OF FAA RECURRING REPORTS

7-1. General	7-1
7-2. Format	7-1
Figure 7-1 Format for Catalog of Recurring Reports	7-1

CHAPTER 8. STANDARD FOR PREPARATION OF REPORTS DIRECTIVES

8-1. General	8-1
8-2. Reports Directive Media	8-1
8-3. Reports Paragraph Information	8-1
8-4. Report Title and Reports Identification Symbol (RIS)	8-1
8-5. Purpose of Report	8-1
8-6. Cancellations	8-1
8-7. Preparing Offices	8-1
8-8. Format of Report	8-1
8-9. Instructions for Report Preparation	8-2
8-10. Source of Report Data	8-2
8-11. Number of Copies and Distribution	8-2
8-12. Frequency	8-2
8-13. Due Date	8-2

APPENDIX I. SAMPLE FAA FORM 1300-5 REPORT APPROVAL REQUEST AND INSTRUCTIONS FOR COMPLETION

Figure 1. Request for Report Approval	I-2
---	-----

APPENDIX II. INSTRUCTIONS FOR COMPLETING STANDARD FORM 83, REQUEST FOR OMB REVIEW

Figure 1. Sample Standard Form 83 (Front)	II-4
Figure 2. Sample Standard Form 83 (Back)	II-5
Figure 3. General Instructions for Preparing the Supporting Statement for OMB Clearance	II-6

APPENDIX III. PREPARATION OF INTERAGENCY CLEARANCE PACKAGE

Figure 1. Sample Standard Form SF-360	III-2
Figure 2. Sample Optional Form 101	III-3

CHAPTER 1. GENERAL

1-1. PURPOSE.

This order prescribes agencywide procedures for the initiation, cancellation, and management of all FAA internal, public, and interagency information collection requirements (reports).

1-2. DISTRIBUTION

This order is distributed to the division level in Washington; branch level in regions and centers; and a limited distribution to field offices and facilities.

1-3. CANCELLATION

Order 1340.1C, FAA Reports Management System, dated June 17, 1988, is canceled.

1-4. EXPLANATION OF CHANGES

a. Due to numerous and frequent organizational changes in Washington headquarters, revisions are being made in the internal, recurring reports numbering system as it affects Washington headquarters initiated reports.

b. After an internal, recurring report is approved by the Reports Approving Officer in the offices and services, it shall be submitted to the Information Collection Clearance Officer, AMS-410, who will assign all internal recurring reports a reports identification symbol (RIS). In the past, RIS numbers were assigned by Reports Management Officers in each office or service.

c. Information on initiation and numbering of one-time reports has been omitted. Each office, service, region or center has the option of managing or not managing one-time reports as they wish.

d. RIS: MS 1340-1, Internal Recurring Report Revalidation, has been canceled.

1-5. DEFINITIONS

a. **Report.** Data or information requested by one organization from another to be used in determining policy; planning, controlling, and evaluating operations and performance; making administrative determinations; and establishing and maintaining official records, or preparing other reports.

(1) **Recurring Report.** Any information collection activities conducted at regular intervals or on an as required basis whenever certain criteria are met.

(2) **One-Time Report.** Information requested only once, as opposed to a recurring request.

(3) **Issued Report.** A report that is prepared and released by an organization from data available within its

own organization. This report is for information purposes only, and does not require a reply. An issued report will not be assigned a RIS. An issued report is an outgoing document and not a collection of information.

(4) **ADP Report.** Information obtained by manipulating and withdrawing data already contained in a computer data base.

(5) **Feeder Report.** Information collected from sub elements in response to an internal recurring information request (internal report). The contents, frequency, form, or format are usually the same as the parent report.

(6) **Washington Headquarters Report.** An information collection activity initiated by an office or service in Washington headquarters.

(7) **Regional or Center Report.** An information collection activity initiated by organizational elements of the regions or centers.

(8) **Inter-region Report.** Information requested by one or more regions of another region.

(9) **Internal Report.** Information collection activities within the FAA, by one organization of another.

(10) **Public Report.** Information collected from the public by a Federal agency, and or, a recordkeeping requirement placed on the public by a Federal agency.

b. **Report Identification Symbol (RIS).** A group of letters and numbers which identifies an approved internal recurring report.

c. **Office of Primary Interest (OPI).** The organizational element which establishes an information collection activity and prescribes the instructions for compliance.

d. **Respondent.** Any person, agency, or organization from which information is requested and made available for use by FAA or its contractors.

e. **Paperwork Reduction Act of 1980 (Public Law 96-511, 96th Congress).** The Federal statute requiring Federal agencies to obtain approval from the Office of Management and Budget (OMB) before imposing reporting and recordkeeping requirements on the public. The "public" refers to individuals, businesses, and State and local governments.

f. **Information Collection Clearance Officer.** The individual in Washington headquarters responsible for administering, operating, and evaluating the reports management system; reviewing and providing first level approval for public reports; and maintaining a current inventory of all public, and interagency reports, and all

internal recurring reports initiated in Washington headquarters. The Information Collection Clearance Officer also acts as the Reports Management/Control Officer (see paragraphs 1-5h-i) for the Office of Management Systems (AMS). This person assigns RIS numbers to all internal recurring reports initiated in Washington headquarters.

g. Reports Approving Officer. The individual in each office and service and each division in the regions and centers who has been designated to approve information collection requirements within his/her organization. This approval responsibility requires an individual who is thoroughly familiar with the across-the-board functions of his/her organization.

h. Reports Management Officer. The individual in each office, service, region, and center who reviews and coordinates all internal recurring reports initiated in his/her organization. This individual would be responsible for keeping case files on all of these reports established in his/her organization. In the regions and centers, this individual would also assign RIS numbers to all internal recurring reports.

i. Reports Control Officer. The individual in each regional or center division who assists program managers in preparing the paperwork required for approval of the divisions information collection requirements (reports). This individual would be responsible for keeping information files on all of these reports established in his/her division.

1-6. FORMS

a. FAA Form 1300-5, Form and Report Approval Request, is used to request approval on FAA internal recurring reports (internal information collection activities) and any FAA forms. When approval of a report and/or form is desired, a completed FAA Form 1300-5 is submitted to the proper approving official. See paragraph 3-3 for the procedures for approving an internal report,

and appendix 1, Instructions for Preparing FAA Form 1300-5. This form is stocked in the FAA Depot and can be ordered through normal supply channels. The national stock number is 0052-00-679-8001. In Washington headquarters, copies of this form can be obtained from AMS-410.

b. Standard Form 83, Request for OMB Review. This form is completed and submitted along with a justification statement to OMB to request clearance for a public information collection or recordkeeping requirement. See appendix 2, Requesting OMB Approval for a Public Reporting Burden, Figures 1 and 2. This form can be obtained from AMS-410 in Washington headquarters.

c. FAA Form 1300-2, Clearance Record, is used to effect coordination for the approval of any information collection activities covered under this directive. This form is stocked at the FAA Depot and can be ordered through the normal supply channels. The national stock number needed for ordering purposes is 0052-00-506-7000.

d. FAA Form 1330-4, Stop Order, is used to cancel any report forms, or to flag any forms before automatic reprinting in order to make changes. This form is stocked in the FAA Depot and can be ordered through normal supply channels. The national stock number is 0052-00-608-5001.

e. FAA Form 1370-20, ADP Services Request, is used to request information which will be produced by means of ADP resources. This form is stocked in the FAA Depot and can be ordered through normal supply channels. The national stock number for ordering purposes is 0052-00-873-0000.

f. SF-360, Request for Clearance of Interagency Reporting Requirement, is used to submit material to GSA for clearance of an interagency report. See Chapter 6, paragraph 6-2. This form can be obtained from AMS-410 in Washington headquarters.

CHAPTER 2. REPORTS MANAGEMENT SYSTEM

2-1. GENERAL

a. The effective management of reports requires a uniform and well-defined flow of reliable, timely information upon which policy, planning, and operational processes can be based. Establishment of systematic reporting procedures is one primary method of communicating information. A uniform reporting system provides a basis for integration of information for use by more than one office, and allows all levels of management to make optimum use of all available information.

b. The reports management system assigns responsibility to the various FAA organizations for developing the reports management program. Provision is made for designation of Reports Approving and Reports Management Officers to carry out the reports program in accordance with the standards and procedures contained in this order.

c. The reports management system establishes a general definition and classification of reports and provides for the exclusion of certain types and classes of reports. Procedures are established for clearance and approval of FAA internal recurring reports.

d. Certain report requirements are established by legislation and OMB guidelines. These are identified, explained, and the procedures established to insure FAA compliance.

e. The authority for the establishment of the internal and interagency reports program in FAA is found in the Federal Information Resources Management Regulation (FIRMR) parts 201-45.103 and 201-45.103. The authority for the public reports program is the Paperwork Reduction Act of 1980. These regulations set forth the program requirements and the program implementation.

2-2. REPORTS INCLUDED IN THE REPORTS MANAGEMENT SYSTEM

a. **Internal Reports.** All recurring internal information collection activities (internal reports) initiated within offices, services, regions, or centers to gather information from other organizations within the FAA to use for the purpose of determining policy; planning, controlling, and establishing and maintaining official records; or preparing other reports.

b. **Public Reports.** The information collection or recordkeeping activities required by FAA of the public, state or local governments, businesses, institutions,

groups, or individuals which are subject to the Paperwork Reduction Act of 1980, Public Law 96-511.

c. **Interagency Reports.** Recurring information required by the FAA from other government agencies.

2-3. REPORTS EXEMPTED FROM THE REPORTS MANAGEMENT SYSTEM

a. Logs and operating documents such as routine inspections, purchase or travel orders, travel authorizations, applications, requisitions, vouchers, invoices, official time and attendance forms, shipping documents, individual performance ratings or effectiveness records, individual medical and dental records, classification or qualification forms, individual school records, identification forms, announcements, supply and weather bulletins, and catalogs. The exclusion covers only the individual operating documents. Reports concerning progress in processing the documents such as number prepared, number pending, etc., are not exempted.

b. Reports prepared by personnel designated to conduct management studies and surveys.

c. Project reports, status reports, and personnel vacancy reports.

d. Official reports of audit prepared by a headquarters or field audit organization which communicate, summarize, or consolidate the results of an examination or review.

e. Reports of personnel audit surveys prepared by specified personnel groups.

f. Formal reports of findings, recommendations, or actions, prepared by ad hoc committees, survey teams, or boards appointed to inquire into and report on a specified matter.

g. Recommendations or suggestions for plans, policies, programs, procedures, or proposed directives.

h. Nominations or recommendations of individuals for all types of programs or awards.

i. Narrative type reports relating solely to the FAA public affairs program.

j. Reports required for authorized fund raising campaigns.

k. Management, technical, documentary, scientific, or research and development reports on a particular scientific problem or program. However, care must be exercised to insure compliance with the Paperwork Reduction

Act of 1980, whenever such reports require compilation of information from the public.

l. Issued reports.

m. One-time reports.

2-4. RESPONSIBILITIES

a. **The Office of Management Systems (AMS).** Management Systems in Washington headquarters is responsible for designating the FAA Information Collection Clearance Officer. AMS is responsible for establishing the standards, guidelines, and procedures necessary for the operation of an efficient reports program. This office manages the public reports, the interagency reports, and the internal reports for FAA. AMS-410 is responsible for assigning RIS numbers to all internal recurring reports initiated in Washington headquarters, and for evaluating the FAA reports management programs. It keeps an inventory of all Washington internal recurring reports, all public reports, and all interagency reports. AMS-410 publishes an annual catalog of Washington initiated internal recurring reports for agency distribution. The Office of Management Systems acts as the liaison between FAA, OMB, and the Office of the Secretary of Transportation (OST) on all report matters.

b. **Offices and Services.** Each office and service is responsible for designating a Reports Approving Officer and a Reports Management Officer to handle all aspects of its reports program. Each office and service is responsible for controlling its own internal reports in accordance with the standards and guidelines of this order, and submitting new reports to AMS-410 for numbering. Each office and service will conduct a revalidation of its internal recurring reports at the same time it is revalidating the directive prescribing the report, and at the time the catalog is sent to each office or service to be updated.

c. **Regions and Centers.** Each region and center is responsible for designating a Reports Management Officer to assign RIS numbers and manage the reports program for the region or center. Each region and center division is responsible for designating one Reports Approving Officer and one Reports Control Officer. These designated personnel are responsible for the control and operation of the reports program within their division in accordance with the standards and guidelines set forth in this order.

2-5. FUNCTIONS

a. **Headquarters.**

(1) **The Information Collection Clearance Officer** is responsible for:

(a) Developing guidelines and procedures for managing the agency's reports program.

(b) Providing technical assistance and guidance to headquarters offices, services, regions, and centers in reports matters.

(c) Evaluating the reports management program.

(d) Representing the agency in dealing with OMB in the clearance of public reports and record-keeping requirements subject to the Paperwork Reduction Act of 1980.

(e) Working with offices, services, regions, and centers in streamlining reports or eliminating unnecessary reports.

(f) Assisting offices services, regions, centers in identifying public reports requirements, and preparing justification packages for OMB approval of those reports.

(g) Reviewing justification for clearance of public reports submitted by the offices, services, regions, and centers. Approving correctly prepared packages and submitting them to OST for approval and forwarding to OMB.

(h) Reviewing justification for interagency reports. Clearing correctly prepared justification packages, and submitting them to OST for approval and forwarding to the General Services Administration (GSA).

(i) Maintaining a copy of FAA Form 1300-5, Form and Report Approval Request, for all Washington headquarters internal recurring reports.

(j) Assigning RIS numbers to all internal recurring reports initiated in Washington headquarters offices and services.

(k) Publishing a catalog of Washington headquarters internal recurring reports on an annual basis. The format of this catalog is shown in Figure 7-1, Format for the Catalog of FAA Recurring Reports.

(l) Serving as the Reports Management Officer for the Office of Management Systems.

(2) **Reports Approving Officers.** The Reports Approving Officers in Washington are responsible for:

(a) Approving new and revised information collection activities initiated by elements of their organization.

(b) Reviewing the necessity for the reporting requirements initiated by elements of their organization.

(3) **Reports Management Officer.** The Reports Management Officer in each office or service is responsible for:

(a) Reviewing requests for recurring internal reports submitted by elements of his/her organization, analyzing them for accuracy and conformance to reporting guidelines, and assuring that proper coordination has been effected.

(b) Keeping a case file on all agency reports—internal recurring, public, and interagency initiated in his/her organization.

(c) Notifying the Information Collection Clearance Officer via FAA Form 1300-5 of any added, changed, or canceled reports.

(d) Reviewing the justification packages for OMB approval of public reports for accuracy and adherence to the format procedures set forth by OMB. Submitting the package to the Information Collection Clearance Officer in AMS-410 for final FAA clearance.

(e) Reviewing the justification packages for GSA approval of interagency reports for accuracy and proper coordination. Submitting the package to the Information Collection Clearance Officer in AMS-410 for final FAA clearance.

b. Regions and Centers.

(1) **The Reports Management Officer.** The Reports Management Officer in the regions and centers is responsible for:

(a) Reviewing and approving requests for internal recurring reports submitted by an organizational element of the region or center.

(b) Assigning RIS numbers to the internal recurring reports initiated in the region or center.

(c) Reviewing the justification of any public report for accuracy and format before submitting it to the Information Collection Clearance Officer in Washington.

(d) Reviewing the justification of any interagency report for accuracy and format before submitting it to the Information Collection Clearance Officer in Washington.

(e) Keeping a case file on all reports—internal recurring, public, or interagency—established in the region or center.

(f) Publishing a local catalog of center or regional internal recurring reports.

(g) Acting as liaison between the region or center and the Information Collection Clearance Officer on all matters involving the reports program.

(2) **Reports Approval Officer.** The Reports Approval Officer in each division in the regions or centers is responsible for:

(a) Reviewing the necessity for any reporting requirements initiated in his/her organization.

(b) Approving the need for all internal recurring reports initiated in his/her division.

(3) **Reports Control Officer.** The Reports Control Officer in each region or center division is responsible for:

(a) Assisting the program managers in his/her division in preparing the paperwork required for approval of the division's internal recurring reports (FAA Form 1300-5, and the prescribing directive).

(b) Keeping an information file of all the reports—internal, public, and interagency—initiated in the division.

(c) Serving as liaison between his/her division and the Reports Management Officer in the division which is assigned the reports management function.

(d) Notifying the regional Reports Management Officer of any added, changed, or canceled reports.

CHAPTER 3. STANDARDS AND PROCEDURES FOR CLEARANCE OF FAA INTERNAL REPORTS

3-1. GENERAL

a. Each office, service, region, and center is responsible for controlling its own internal reports by:

(1) Approving the necessity and accuracy of the information collection activity.

(2) Assigning or have assigned reports identification symbol (RIS) numbers according to proper procedures as established in this order.

(3) Keeping case files on all recurring reports it has initiated.

b. In Washington headquarters, after a report is approved by the Reports Approving Officer in an office or service, it shall be submitted to the Information Collection Clearance Officer, AMS-410, who will assign all reports a RIS number.

c. Any office that receives directives, letters, teletypes, or other communications which require a recurring information collection report shall not comply with the request unless a reports identification symbol (RIS) is cited or the report is exempted. If a request for an unapproved report is received, the receiving office shall notify its Reports Management Officer. This person shall notify the Reports Management Officer in the initiating office and request that the report be evaluated and assigned a RIS number. For reports required by Washington Headquarters, a copy of the notification should be sent to the Information Collection Clearance Officer, AMS-410, for the followup action.

d. All directives establishing new recurring reports or revising existing reports will contain a reports paragraph listing the title of the report, the RIS number, and a brief description of the report. See Order 1320.1C, FAA Directives System, paragraph 103.

3-2. STANDARDS FOR REPORTS

The standards are set forth in FIRMR 201-45.103.

a. Use. The use to be made of a report (the information collected) must justify the cost of preparation, submission, and processing.

b. Essentiality. Information collection activities (reports) should be instituted or continued only as a means of obtaining data essential for operational or management purposes. Reports will not be established to verify the accuracy of another report. Negative reporting will be limited to instances in which such a requirement is essential.

Negative reporting can be essential as a verification to show the request was received and understood.

c. Economical Procedures. The most economical reporting procedures should be used. Some economical procedures to be applied would be to select the sampling method of information collection whenever possible and reduce the frequency of collection.

d. Utilization of Data. Before establishing a new or renewing an existing information collection activity, the possibility of duplication should be researched. ADP systems should be checked to see if the information needed is already available on the system. The current catalog of recurring reports should be checked to see if another report may already be collecting the information required.

e. Coordination. Whenever practical, request for information (reports) should be coordinated with preparing offices and those having a responsibility in the subject matter area. Whenever possible, this should be accomplished during the developmental stage of preparing the reporting procedures. Reporting requirements and procedures should be coordinated with:

(1) Those offices, services, regions, or centers which have a genuine interest in the proposed report because:

(a) It will materially affect or assist in the decisionmaking for which they are responsible, or

(b) They have an administrative or legal responsibility for the subject matter area.

(2) Those offices, services, regions, or centers which will benefit from or will be affected by the reports because:

(a) A significantly increased workload is placed on the preparing office, or

(b) There is a requirement for similar or identical data already in existence, or

(c) It will affect the workload in data processing units.

f. Combined Reports. Related reports should be combined where practical and economical. Since mailing and handling costs are a significant portion of report costs, reduced submissions result in cost savings.

g. Updating. The redesign of reports must be a continuing process to maintain a high level of currency and efficiency.

h. Deadlines. Deadlines must be realistic. Impossible or impractical deadlines increase cost out of proportion to the value gained. Rapid submissions can also result in inaccurate reports and may necessitate the need for resubmissions. Proper planning can and must be employed to avoid such requests. When an extremely short deadline must be given, the reasons should be stated in the requiring documents.

i. Frequency. Reports should be required only as frequently as the rate of change in the activity being reported dictates.

j. Cost Benefit. The value of the information collected should outweigh the cost of its collection. Before establishing a recurring report a cost analysis should be performed following the FIRMR subpart 201-45.606. Form OF 101, Appendix 3, figure 2 can be used for this purpose.

3-3. PROCEDURES FOR THE INITIATION AND CLEARANCE OF FAA HEADQUARTERS REPORTS

a. Recurring Reports. When an office or service needs to collect information from the regions, centers, or other offices or services, on a recurring basis, the following procedures should be followed:

(1) The initiating office should notify its Reports Management Officer of its intention to establish an internal recurring report.

(2) The initiating office should establish the report in accordance with standards set forth in paragraph 3-2 of this order with the assistance of the Reports Management Officer. The Reports Management Officer will assist in preparing the proper justification (FAA Form 1300-5, and the appropriate paragraph in the prescribing directive).

(3) The initiating office will submit the justification, FAA Form 1300-5, to the Reports Approval Officer for approval.

(4) The Reports Approval Officer will sign in the first box of number 19 on FAA Form 1300-5 to show approval.

(5) The initiating office will submit the appropriate documentation to the Reports Management Officer. The appropriate documentation consists of:

(a) Two copies (more if internal procedures dictate) of FAA Form 1300-5 signed by the office or service Reports Approval Officer.

(b) One copy of the prescribing directive. If because of urgency a directive has not been prepared, then a copy of whatever form of instructions is used (letter, memorandum, TWX, notice, ect.) should be submitted.

(c) A copy of the form, if one is used, to collect the information.

(6) The Reports Management Officer will sign the appropriate space in box 19 of FAA Form 1300-5 and

submit the justification to the FAA Information Collection Clearance Officer, AMS-410.

(7) The FAA Information Collection Clearance Officer will review the justification and if there are no problems, assign an RIS number to the report.

(8) After the RIS number has been assigned, the FAA Information Collection Clearance Officer will keep one copy of the FAA Form 1300-5 to use to add the information to the automated inventory. The rest of the justification package will be returned to Reports Management Officer in the initiating office.

(9) The Reports Management Officer in the initiating office will set up a case file containing:

(a) One signed copy of FAA Form 1300-5.

(b) The prescribing directive or a copy of whatever form of instruction is used, and

(c) A copy of the form, if one is used, to collect the information.

b. Reports Involving ADP Processing. Any office which anticipates the use of computer resources to obtain information shall complete FAA Form 1370-20, ADP Services Request, and submit it to the appropriate ADP organization for approval.

c. Discontinued Reports. To cancel an internal report, follow the steps listed below:

(1) The initiating office will send a memorandum to the Reports Management Officer for his/her office. The memorandum will contain the following information:

(a) The RIS number of the report being canceled.

(b) The title of the report being canceled.

(c) The implementing directive.

(d) A brief statement of why the report is being canceled.

(e) A brief statement explaining the manner in which the affected offices will be notified of the cancellation.

(2) The Reports Management Officer for the initiating office will send a copy of the memorandum to the FAA Information Collection Clearance Officer, AMS-410.

(3) The FAA Information Collection Clearance Officer, AMS-410, will use the memorandum as the source document to update the automated inventory, and cancel the report in the Catalog of Recurring Reports for FAA Headquarters.

(4) If the report is a form, the initiating office will submit an FAA Form 1330-4, Stop Order, to the agency Forms Officer, AMS-410. This will stop the automatic reprinting of the form.

d. Revising an Existing Report. Revisions to existing recurring reports involving changes to the title, form,

frequency, OPI, or preparing or receiving offices will be submitted to the Reports Management Officer for the implementing office on FAA Form 1300-5. It would only be necessary to fill out boxes 1-8 of the form. The Reports Management Officer will add this revision to the case file. A copy would be sent to the Information Collection Clearance Officer, AMS-410. This information will be used to update the automated reports inventory and the Catalog of Recurring Reports.

3-4. IDENTIFICATION OF FAA INTERNAL REPORTS

a. **Correspondence Pertaining to Reports.** Correspondence directly pertaining to a report with an assigned RIS number will cite the title of the report as the subject and the symbol. For example:

SUBJECT: Flight Assist Report (RIS: 7230-11)

b. **Reports identification in a directive.** Evidence of approval of reports will be indicated by including the title, RIS number and other applicable information as indicated in Order 1320.1C, FAA Directive System, paragraph 103. If the directive is strictly for the purpose of implementing the information collection activity, put the RIS number in the title of the directive.

c. **Reports Identification Symbol (RIS) for FAA Internal Recurring Reports Initiated in Washington Headquarters.** The reports identification symbol will be assigned in accordance with the following instructions:

(1) The first element of the RIS will be the letters RIS.

(2) The second element will be the four digit subject classification code appropriate for the specific report and selected from Order 0000.1F, FAA Standard Subject Classification System.

(3) The third element will be the sequential number determined by order of issuance of a report within a certain subject classification area.

(4) Following is an example of a reports identification symbol established at the headquarters level:

- (a) Reports identification symbol: RIS
- (b) Subject Classification: 7230
- (c) Sequential number of the report: 1

d. **Reports Identification Symbol for FAA Internal Recurring Reports Initiated in the Regions or Centers.**

(1) The first elements of the RIS for a region or center will be the last two letters of the regional routing symbol. If desired, the alpha identifier of the initiating division may follow the regional identifier. (RIS: SO 7230-1 or SO AT 7230-1)

(2) The next element will be the four digit subject classification code appropriate for the specific report and selected from Order 0000.1F, FAA Standard Subject Classification System.

(3) The last element will be the sequential number determined by order of issuance.

(4) Following is an example of a reports identification symbol established at the region or center level. RIS:

- (a) Regional or Center Symbol: SO
- (b) Subject Classification: 7230
- (c) Sequential No. of the Report: 1; or
- (d) Regional or Center Symbol: SO
- (e) Initiating Division Symbol: SO AT
- (f) Subject Classification: 7230
- (g) Sequential No. of the Report: 1

e. **Reports Identification Symbol (RIS) for Feeder Reports.** Feeder reports as defined in paragraph 1-5a(5) will bear the same RIS as the original report for which it is a feeder. For example, a feeder report established by a regional office to gather data to reply to a Washington headquarters report will be assigned the same RIS as shown for the headquarters report. A regional report which includes data over and above that called for in a headquarters report is not considered a "Feeder Report" under the provisions of the Reports Management System and will bear a RIS number representing the regional office that prescribes the report. Feeder reports will be individually listed in the regional or center catalog.

3-5. CLEARANCE PROCEDURES FOR THE REGIONS AND CENTERS

Each region and center will publish specific procedures for the processing of reports within its respective jurisdiction in accordance with the guidelines and standards of this directive.

CHAPTER 4. REVALIDATION AND EVALUATION OF REPORTS AND THE REPORTS PROGRAM

4-1. GENERAL

The existence of information collection activities should be revalidated at regular intervals to ensure the continued necessity of the report. If the information still needs to be collected, then the efficiency and frequency of the collection needs to be examined.

The procedures for the establishment of reports and the operation of the reports program should be evaluated periodically.

4-2. PROCEDURES FOR REVALIDATION

a. The Reports Management and Reports Control Officers are responsible for ensuring that the internal reports (information collection activities) are revalidated on a regular basis.

b. Two methods of reports revalidation can be tied to two other reports processes:

- (1) The update of the reports catalog, and
- (2) The revalidation of the prescribing directive

c. In Washington headquarters, order 1340.3P, Catalog of Recurring Reports, is updated annually by the FAA Information Collection Clearance Officer, AMS-410.

During that update process, each office and service is sent a copy of its portion of the catalog for updating. It is asked to review each of its reports for accuracy, necessity, and efficiency, and to make appropriate changes, deletions and additions to the copy. The same procedure can be accomplished in the regions and centers by the Reports Management Officer. This procedure would cover all listed reports, even those few not yet covered by a directive.

d. Order 1320.1C, FAA Directives System, requires that directives be revalidated every two years. During this biennial revalidation, if the directive prescribes a report, the report should be revalidated as well. Any changes to a report should be sent to the Reports Management Officer for that organization, and subsequently sent to the FAA Information Collection Clearance Officer if originated in Washington.

4-3. EVALUATION OF THE REPORTS PROGRAM

The Office of Management Systems will conduct periodic evaluations of the reports program in the offices, services, regions and centers.

CHAPTER 5. THE PAPERWORK REDUCTION ACT OF 1980—PUBLIC REPORTS PROGRAM

5-1. GENERAL

The Paperwork Reduction Act of 1980 provides that no Federal agency shall collect identical information from 10 or more individuals, businesses, farms, or state or local governments, without prior approval from the Office of Management and Budget (OMB). The intent of Congress in adopting this act was to reduce the burden of obtaining information from non-Federal respondents and to control and categorize what is collected to maximize its usefulness by other Federal agencies. The Act applies not only to statistical questionnaires, but but also to administrative forms such as applications or certifications. It applies even if the request for information is voluntary and regardless of the collection method used—forms, letters, personal interview, telephone interview, etc. The Paperwork Reduction Act refers to collections of information from the public as a burden on the public even if it is voluntary. The Paperwork Reduction Act also applies if a Federal agency does not collect information per se, but requires an individual or organization to keep records.

5-2. CONTRACTING ORGANIZATIONS

The provisions of the Paperwork Reduction Act of 1980 apply to contracting organizations under the sponsorship of Federal agencies. Any FAA contractor proposing the collection of identical data from ten or more non-Federal employees must submit the reporting program and report forms to FAA prior to initiation of the data collection process. Following internal clearance action, FAA will forward the reporting program and report forms through the Office of the Secretary of Transportation (OST) to the Office of Management and Budget for the required approval.

5-3. PROCEDURES FOR CLEARANCE OF REPORTING AND RECORDKEEPING REQUIREMENTS UNDER THE PAPERWORK REDUCTION ACT OF 1980

a. All reporting and recordkeeping requirements for the collection of identical items of information from ten or more non-Federal respondents will be submitted through the appropriate Reports Management Officer in Washington, the regions, and centers to the FAA Information Collection Clearance Officer, AMS-410. This clearance requirement applies equally to contractual arrangements for the collection of such information by other organizations under the sponsorship of FAA.

b. Specific care needs to be taken to avoid obtaining contractual support to collect information from the public through surveys or questionnaires before the collection of information is approved by OMB. To avoid any problems, the following guidelines should be followed:

(1) Submit a preliminary statement to OMB explaining what you want to do, why, how, and the benefits you hope to reap, before letting any contract. Request OMB's tentative approval and comments regarding the concept.

(2) Plan on letting two contracts at different times. Let the first contract for support to prepare the survey instrument and the statistical data required by OMB. With the assistance of this support, prepare the justification for OMB clearance. If OMB clears the package, let the second contract to conduct the survey.

(3) If you want the same contractor to prepare the survey instrument and conduct the survey, prepare the contract in two parts. The first part would be to prepare the instrument and the OMB clearance justification data. The second part of the contract, the collection of the data, would be contingent on OMB approving the collection and assigning a control number.

c. Statistical requests for information will be prepared in accordance with OMB guidelines located in appendix 2. The completed justification package will be submitted to the Transportation Systems Center (TSC) for review of the statistical survey procedures. After clearance by TSC, the request for OMB approval will proceed through normal channels to OST and then OMB for final approval. Again, the contract to collect the information cannot be let before OMB approval.

d. Each office initiating an action to obtain information from the public shall assure that the requirement is necessary and that care has been taken to keep the information collection burden on the public to a minimum. Keeping the information collection burden on the public to a minimum can be accomplished by applying the following guidelines:

(1) Collect from the public only when absolutely necessary. Do not collect just nice to know information.

(2) Keep the frequency to a minimum. Do not collect on a quarterly basis when a semiannual collection will suffice.

(3) Keep the amount of information requested to a minimum and, if a form is used, make sure the design is simple and concise for ease of completion.

e. It will be the responsibility of the office initiating a public requirement or contract to:

(1) Effect and document all coordination appropriate to the interests of the agency.

(2) Submit such material to justify the requirement as outlined in 5 CFR Part 1320 and appendix 2 to AMS-410.

f. In planning for the processing of the proposed requirement or contract, allow sufficient time for FAA, OST, and OMB review of the type of information required and the manner in which the information is to be obtained or solicited. You should allow a minimum of 120 days lead time before scheduling to start the information collection.

g. Five completed request packages for OMB clearance need to be submitted to AMS-410. Each completed package will contain the following:

(1) An original of FAA Form 1300-2, Clearance Record, which was used to effect coordination, and a statement regarding any unresolved differences. If coordination was considered to be unnecessary, a statement to that effect will be entered in the "Clearance Routing" section of the Clearance Record.

(2) Completed Standard Form 83 as shown in appendix 2.

(3) A detailed supporting statement or justification prepared according to the guidelines provided by OMB and copied in appendix 2.

(4) All relevant portions of any statutes, regulations, handbooks or any document that authorizes or establishes the collection activity.

(5) Any forms used for the collection of information. The form can be a good draft since final printing of the form cannot be accomplished until OMB assigns an approval number. Each new form with OMB approval needs the following information printed on the form:

(a) The OMB approval number printed in the upper right-hand corner of the form.

(b) A statement, printed as close to the OMB number as possible, disclosing the FAA's estimate of the average time it takes to complete the form, and a request that the public direct any comments concerning the accuracy of the burden estimate and any suggestions for reducing it to the FAA and OMB.

(c) The complete mailing addresses of the FAA office of primary interest and the appropriate OMB office.

Note: If any comments are received concerning the form, the FAA Information Collection Clearance Officer, AMS-410, should be notified immediately.

(6) Any other documents being sent to the respondents such as transmittal letters and instruction sheets.

h. Application for approval of a revised form or plan will be made by following the same procedure as for a new form or plan.

i. Application for extension of OMB approval will be made at least 4 months before the expiration date by submitting a draft of the completed copy of Standard Form 83 and the supporting statement to the FAA Information Collection Clearance Officer, AMS-410.

j. After the draft is approved, the initiating office will prepare it in final and send the five packages prepared according to paragraph 5-3g. to the FAA Information Collection Clearance Officer, AMS-410. After final review by AMS-410, the package will be sent to OST for clearance and forwarding to OMB for final approval.

k. When submitting an application for a revision or extension of approval, it will be necessary to update all the information provided in the supporting statement and on the SF-83.

5-4. INFORMATION COLLECTION BUDGET (ICB)

a. OMB requires an information collection budget to be submitted annually. This budget is an estimate of the current hours expended by the public to comply with our regulations or other requests for information, and any proposed requests expected during the upcoming fiscal year. Our ICB is combined with the other DOT modal agencies for a total departmental submission.

b. OMB reviews the ICB, conducts budget hearings, and requests further changes if necessary, to attempt to reduce the budget.

5-5. NOTICE OF PROPOSED RULEMAKING WITH RECORDKEEPING AND REPORTING REQUIREMENTS

a. **Administrative Procedure Act (Public Law 404, 79th Congress).** This Act contains the requirements for each agency to provide the public with information on its organization and method of operation and its rules and rulemaking procedures. A notice of a proposed rule must be published in the Federal Register (with a few exceptions) to afford interested persons an opportunity to comment on the rulemaking. In order to simplify the procedural relationship between the OMB review of recordkeeping and reporting requirements under the Paperwork Reduction Act of 1980 and the rulemaking procedures prescribed by the Administrative Procedure Act, the following procedures will apply:

(1) **Before the Notice of Proposed Rulemaking is Published in the Federal Register.**

(a) When FAA is considering the initiation of a rulemaking procedure in accordance with the Administra-

tive Procedure Act, which calls for recordkeeping or reporting by 10 or more respondents, a draft of the proposed rule with a memorandum identifying the recordkeeping and reporting requirements will be forwarded to the FAA Headquarters Information Collection Clearance Officer, AMS-410. The memorandum will provide such supporting information as normally accompanies a Standard Form 83, Request for OMB Review.

(b) If the rule contains significant burden or may be controversial, the Information Collection Clearance Officer may coordinate the documents with OMB for review and comment of the proposed recordkeeping and reporting requirements.

(2) When the Notice of Proposed Rulemaking is Published.

(a) After the Notice of proposed rulemaking containing the paperwork or recordkeeping burden is published in the Federal Register, the initiating office should begin preparation of the SF-83 and the supporting justification, being mindful that the data may change as comments are received, resulting in changes to the regulation.

(b) After all changes have been made to the regulation, and before the final rule is published in the Federal Register, the final request for clearance should be submitted to OMB. Clearance needs to be obtained from OMB, and the approval number included in the rule when it is published in final.

(c) If OMB has been kept abreast of the requirements of the rule, final action on clearing the paperwork burden could be greatly facilitated.

(3) When the Rules are Published in the Federal Register. Approval by OMB is made with the understanding that the proposed recordkeeping and reporting requirements will not be revised prior to publication in the Federal Register as a final rule. The FAA will be required to submit the revised requirements to OMB for approval if the rules are changed with respect to: the kind or amount of information; the number or identity of respondents; or the time or frequency of reporting.

5-6. OFFICE OF MANAGEMENT AND BUDGET CIRCULARS

Copies can be obtained through regular distribution channels.

a. OMB Circular No. A-130, Management of Federal Information Resources. This circular provides a general policy framework for management of Federal information resources. The circular complements 5 CFR Part 1320, Controlling Paperwork Burden on the Public.

b. 5 CFR Part 1320. This regulation implements the Paperwork Reduction Act of 1980 (Title 44, U.S.C. Chapter 35). 5 CFR Part 1320 supercedes OMB Circular No. A-40, Management of Federal Reporting Requirements.

c. OMB Circular A-46, Standards and Guidelines for Federal Statistics, and Exhibit A. This circular outlines the standards for statistical surveys. The circular is directly related to requirements for the "Supporting Statement" to be provided with Standard Form 83. It is the responsibility of the requester to display sufficient information to allow a determination by OMB that the agency is conforming with Federal standards for surveys or reports.

5-7. CANCELLATION OF REPORTING AND RECORDKEEPING REQUIREMENTS

When an established reporting form or plan previously approved by OMB is no longer required, the Information Collection Clearance Officer will be notified in writing. (Use FAA Form 1330-4, Stop Order, if a form is to be canceled.) The Information Collection Clearance Officer will in turn notify OMB through OST.

5-8. PREPARATION OF STANDARD FORM 83

Instructions for completing this form are given in appendix 2.

5-9. EVIDENCE OF OMB CLEARANCE OF REPORTING AND RECORDKEEPING REQUIREMENTS

Evidence of OMB approval will be indicated by printing or inscribing usually in the upper right-hand corner on the approved document the number assigned by OMB.

CHAPTER 6. INTERAGENCY REPORTS AND REPORTS REQUESTED FROM THE FAA BY OTHER AGENCIES

6-1. GENERAL

The requestor of information determines the type of report or information collection activities. Interagency reports are reports required or requested by the FAA from other agencies. The opposite of interagency reports are reports requested of the FAA by other agencies.

6-2. INTERAGENCY REPORTS

a. Interagency reports are reports that the FAA requires from other agencies. These reports require GSA clearance. To request clearance, the initiating office would:

(1). Prepare an SF-360 and the proper justification as outlined in FIRMR subpart 201-45.6 (see appendix 3.)

(2). Submit the proper documentation to the Reports Approving Officer and the Reports Management/Control Officer for the office.

(3). The proper documentation would consist of four complete packages. Each package consisting of:

(a). A completed FAA form 1300-2 Clearance Record.

(b). A completed SF-360, Request for Clearance of an Interagency Reporting Requirement.

(c). The justification narrative

(d). Any forms used in the collection of information

(e). The supporting directive.

(4). The Reports Management/Control Officer will submit the documentation to AMS-410 for agency clearance.

(5). The Information Collection Clearance Officer, AMS-410, will review and clear the package for the FAA and submit it to OST for approval.

(6). OST will review and clear the package and submit it to GSA for approval.

b. If the report request is approved by GSA, it will be assigned an interagency report control number valid for three years.

6-3. REPORTS REQUESTED BY OTHER GOVERNMENT AGENCIES FROM THE FAA

Reports requested by other government agencies, including State and local governments, will be complied with on the basis of FAA policy on the subject matter. An identifying number will be assigned using an abbreviated reference for the requesting agency and a sequential number (i.e., TREAS-3). A listing of these reports can be found in Part II of Order 1340.3P, Catalog of Recurring Reports for FAA Headquarters.

a. **FAA Headquarters.** Whenever such requests require a recurring report, the office complying with the request will notify the Information Collection Clearance Officer, AMS-410, for case file information and catalog purposes.

b. **Field Offices.** Whenever such requests require a recurring report, the recipients will notify their Reports Management Officer for case file information and catalog purposes.

CHAPTER 7. CATALOG OF FAA RECURRING REPORTS

7-1. GENERAL

The Information Collection Clearance Officer, AMS-410, will publish an annual catalog of all recurring reports initiated in Washington headquarters and covered under the Reports Management System. This catalog will serve as a resource document for all Reports Control and Reports Management Officers. This catalog should be checked before initiating a new report to see if a similar information collection effort exists which may eliminate the need for the new report.

The Reports Management Officers for the regions and centers will also publish a regional catalog of recurring reports for distribution within the region or center. A

copy of the regional/center catalog will be sent to the Information Collection Clearance Officer, AMS-410.

7-2. FORMAT

The format of the catalog will be in accordance with the standards set forth in Order 1320.1C, FAA Directives System.

- The first part of the catalog will be an order explaining the kinds of reports included in the catalog.
- The list of reports will be an appendix to the order.
- The list of reports will be printed in columnar format and contain the information shown in Figure 7-1.

FIGURE 7-1. FORMAT FOR CATALOG OF RECURRING REPORTS

FAA HEADQUARTERS RECURRING REPORTS									
OFFICE OF MANAGEMENT SYSTEMS									
SYMBOL	TITLE	MEDIUM	FRE	OPI	DIRECTIVE	MAKERS	RECEIVERS	M-HRS	DOLLAR
1320	DIRECTIVE MANAGEMENT								
RIS: 1320-1	*Directives Issuance Record	FAA 1320-06	D	AMS-420	1320-1C	WXZYE	WXZYE	0000880	00075
RIS: 1320-5	Directive Revalidation Review	Format	BE	AMS-420	1320.1C	W	AMS-420	0000084	00000
RIS: 1320-6	Evaluation Report on Action Notice Trial Issuance Plan	Form	M	AMS-420	N 1320.107	WXYZ	AMS-420	0000000	00000
1330	FORMS MANAGEMENT								
RIS: 1330-1	Excess Forms Report - Inactive and Overstocked Forms	ADP & Format	A	AMS-410	Ltr, MS-100 7/29/69	AAC-300 AAC-400	AMS-400	0000050	00025
1340	REPORTS MANAGEMENT								

CHAPTER 8. STANDARDS FOR PREPARATION OF REPORT DIRECTIVES

8-1. GENERAL

This chapter provides standards for preparing directives or instructions requiring the preparation and submission of reports. Following these guides will ensure that the preparing office has all the information necessary to submit reports properly. The general guidelines for preparing FAA directives can be found in Order 1320.1C, FAA Directives System.

8-2. REPORTS DIRECTIVE MEDIA

Directives for recurring reports will normally be issued in a permanent media such as an order. When, because of urgency or expediency, a recurring report directive is issued in temporary form such as a notice, TWX, or memorandum, it will be replaced by an order or handbook at the earliest practicable date. A one-time report authorized by a directive is automatically canceled 60 days after the due-in date of the report.

8-3. REPORTS PARAGRAPH INFORMATION

Every directive requiring the submission of information (a report) will need a reports paragraph as one of the introductory paragraphs. Depending on the complexity of the information collection activity, the reports paragraph could just reference the report by RIS and title and direct the reader to the appropriate paragraph for complete information and instructions or, for very simple information collection activities, could include all necessary information in the reports paragraph itself. If the latter is the case, the following information should be included in the paragraph:

- a. Report title and Reports Identification Symbol (RIS).
- b. Statement explaining purpose of report.
- c. Any reports canceled by the current one.
- d. All offices required to prepare the report.
- e. Specific instructions for preparing the report including the following:
 - (1) Format
 - (2) Source
 - (3) Frequency
 - (4) Number of copies
 - (5) Due date

8-4. REPORT TITLE AND REPORTS IDENTIFICATION SYMBOL (RIS)

The RIS is considered an integral part of the report title and should always be shown in parentheses following the report title. The report title and its RIS will be shown as the subject of the report directive or instruction if it is the sole purpose of the directive. Otherwise, the title of the report and its RIS will be shown as a heading of the paragraph which prescribes the report. Use the same title for the reporting form. Make titles brief and reasonably descriptive of the subject matter contained in the report. Do not use titles that duplicate other report titles.

8-5. PURPOSE OF REPORT

State the purpose of the report clearly so that the preparing offices will understand what use is to be made of the report and be able to apply the instructions intelligently. Use a summary statement rather than a detailed explanation. The statement, however, should be explicit and not merely a broad generalization of the purpose for the report.

8-6. CANCELLATIONS

Where the directive contains a new or revised report which eliminates or replaces an existing report, a statement should be included identifying the specific report and the RIS being canceled.

8-7. PREPARING OFFICES

List all offices required to prepare the report. Cite by name or group the offices responsible for complying with the report directive.

8-8. FORMAT OF REPORT

Include the specific format to be used for the report. Where a report is on a form, give the form number and title, and where and how the form can be obtained. In other cases, be specific as to whether the report will be a letter, memorandum, TWX, machine tabulation, deck of punchcards, etc. Report forms will have the RIS printed in the upper right corner of the form. When the report is to be prepared in memorandum form, the directive instructions should prescribe that the report title with its RIS will be the subject of the memorandum.

8-9. INSTRUCTIONS FOR REPORT PREPARATION

Instructions for the preparation of the report should be clear, complete, and in sufficient detail to ensure accurate and uniform reporting. The latter is particularly important when the report is being submitted by a large number of respondents. Line or column items of the report form which may not be readily understood, or could possibly be subject to misinterpretation, should be explained in detail. Complex reports should be further clarified by including a completed sample report. The instructions should also include any definitions of words or terms which may be subject to varied interpretations. Also include in the instructions a statement as to whether negative reports are required.

8-10. SOURCE OF REPORT DATA

The directive should give the particular source records or documents from which the report will be prepared. When source records are not already established, prescribe the manner in which the information for the report should be obtained or developed.

8-11. NUMBER OF COPIES AND DISTRIBUTION

The directive shall be specific as to the number of copies of the report to be submitted. The mailing address of each recipient should be indicated. Also, where applicable, the method of transmission of the report when it is other than regular mail, should be given.

8-12. FREQUENCY

A separate statement shall indicate the frequency of the report. For example: weekly, monthly, quarterly, etc. If it is a recurring "as required" report prepared upon the occurrence of an event or situation, indicate the circumstances which require the report preparation. On every new report, there should be a statement of the beginning period for the report. For example: the initial report will be submitted for the period beginning October 1, 19XX.

8-13. DUE DATE

Give the date by which the report should be received at its prescribed destination. The due date for a report should generally be expressed in terms of a specified number of work days following the close of the report period.

APPENDIX 1. SAMPLE FAA FORM 1300-5, FORM AND REPORT APPROVAL REQUEST, AND INSTRUCTIONS FOR COMPLETION

(Item numbers below correspond to item numbers on the request form.)

NOTE: Copy requirements are prescribed by local supplemental directives. If you have any difficulty with completion of the request, consult your Reports Management or Control Officer. Under name of person to contact, name the person most familiar with the request who may be contacted for additional information and who is qualified and authorized to commit the OPI in subsequent negotiations.

1. For a revision, enter the current RIS. For a new request, enter RIS: and the four-digit subject classification number. The sequential number or symbol for the RIS will be inserted or provided by the Information Collection Clearance Officer, AMS-410. Regions and centers will specify procedures for assigning sequential number of symbols for reports.

2. The title should be brief but descriptive. Do not duplicate the titles of other reports.

3. Enter the vehicle by which the report is submitted. For example, a form, letter, narrative, machine tabulation, special form, punchcard, tape, chart, TWX, etc. If the method of submission is a form, enter the form number. If it is a new FAA form, enter "FAA Form," the subject classification code, and leave the sequential number blank. The Forms Management Officer, AMS-410, will assign the sequential number.

4. The frequency the report is to be submitted. Use "twice a week," "every two months," etc., to avoid misinterpretation.

5. Self-explanatory.

6. Number and paragraph of FAA directive explaining the report. If a directive has not been written, name the communication used to assign and explain the reporting burden, e.g., (TWX, AAT-20 6/1/87; AMS-1 Memo of 9/3/88

7. Give the distribution codes or routing symbols (as appropriate) of the offices that prepare the report.

8. Give the distribution codes or routing symbols (as appropriate) of the offices that receive the report.

9. Compute the "people" hours in section 13 and carry the total from 13T to this item.

10. Compute any cost for printing, distribution, and ADP in section 13. Carry the total from 13S up to this section.

11. List any reports or forms which are related to the subject report or form. It is particularly important to list any discontinued reports or superseded forms.

12. Give a detailed explanation of the need and use of the report.

13. Use separate line for each level of processing. In Column (A) & (I) specify by name, type of offices or facilities for each level which prepare(s) or receives the report. Enter for each level, estimates of people-hours expended exclusively for preparing and using the report. Reflect in Columns (B) & (J) such work as: maintaining records, compiling data, typing, proof-reading, reviewing, reproducing, collating, mailing, etc. Enter in Columns (C) & (K) people-hours only for electric accounting machine or automatic data processing in preparation. Enter in Columns (G) & (O) total people-hours for preparers and receivers. In 13 Q and R list the annual printing and distribution costs and the annual EAM/ADP machine cost.

14. This section is for internal clearances within the office of primary interest, and others having a need to coordinate. Under normal circumstances, the highest level of approval in Washington headquarters need only be the division level, in the regions and centers, the branch level is sufficient.

15. The copy distribution refers to where the preparers send the report and what is done with it.

16. Show the Records Schedule item number that covers the use of the report. See order 1350.15B for item numbers.

17-18. Complete in coordination with Forms Program Officer is the request if a report form. IF THE REPORT IS NOT A FORM, THESE ITEMS ARE OMITTED.

19. In the regions and centers, the division's Reports Approving Officer and the region's Reports Management Officer would sign here. If a form is involved, the division's form representative and the region's Form Management Officer would also sign in the appropriate block. In Washington headquarters, the Reports Approving Officer in each office or service will sign in the first box, and the FAA Information Collection Clearance Officer, AMS-410 will sign in the second box marked "Reports Management (Control) Officer." If a form is involved, the forms officer in each office or service will sign in the third box, and the Forms Management Officer in AMS-410 will sign in the fourth box.

FIGURE 1. FAA FORM 1300-5, REQUEST FOR REPORT APPROVAL

FORM AND REPORT APPROVAL REQUEST		CHECK ALL APPLICABLE BOXES							
		New Form	Revised Form	New Report	Revised Report	Other Government Agency Report	FAA Required Report	FAA Issued Report	
		Internal Use	Public Use	Continuous Use	Test Form	One-Time Use	Expiration Date if One-Time Use or Test Form		
OFFICE OF PRIMARY INTEREST (Division Level or Equivalent)		NAME OF PERSON TO CONTACT			Routing Symbol		Telephone Number		
1. REPORT IDENTIFICATION SYMBOL		2. TITLE							
3. FORM No., CHART, FORMAT, ETC.		4. FREQUENCY		5. OPI ROUTING SYMB. (Division Level or Equiv.)		6. PRESCRIBING DIRECTIVES			
7. PREPARERS (Distribution Codes or Routing Symbols)			8. RECEIVERS (Distribution Codes or Routing Symbols)			9. MAN - HOURS (Item 137)		10. DOLLAR COST (Item 135)	
11. RELATED REPORTS AND FORMS (List reports by RIS numbers, and forms by form numbers; if report is also a form, show both RIS number and form number)									
CONTINUING REPORTS		DISCONTINUED REPORTS		CONTINUING FORMS		SUPERSEDED FORMS		Disposition Use Destroy	
12. JUSTIFICATION (Detailed explanation of need and use of form or report. If necessary, continue on reverse side or attach additional sheets)									
<input type="checkbox"/> CONTINUED ON REVERSE SIDE									
13. ESTIMATE OF ANNUAL WORKLOAD AND COST FOR ITEM REQUESTED (Show man-hour totals to nearest whole number, and dollar costs to nearest whole dollar)									
PREPARERS - Consider all actions necessary to prepare the form or report such as compiling data, typing, proofing, filing, EAM/ADP processing, reproduction, distribution, etc.				RECEIVERS - Consider all actions resulting from receipt of the form or report such as analysis, review, summarization, data transfer, etc.					
Facilities/Offices of Each Organizational Level, or Persons by Type				Using Offices of Each Organizational Level					
Man-Hours Each Time Prepared				Man-Hours Each Time Received					
All Actions Except EAM/ADP				All Actions Except EAM/ADP					
EAM/ADP Only				EAM/ADP Only					
Total Man-Hours				Total Man-Hours					
Number of Preparers (Organizations or Persons)				Number of Receivers					
Number Times Per Year				Number Times Per Year					
Total Man-Hours				Total Man-Hours					
(A) (B) (C) (D) (E) (F) (G)				(H) (I) (J) (K) (L) (M) (N) (O)					
(Q) Annual Printing and Distribution Costs \$				(R) Annual EAM/ADP Machine Costs \$					
(S) Total Costs (Q)+(R) \$				(T) Grand Total Man-Hours (H)+(I)+(J)+(K)+(L)+(M)+(N)+(O)					
(U) Annual Printing and Distribution Costs \$				(V) Grand Total Man-Hours (H)+(I)+(J)+(K)+(L)+(M)+(N)+(O)					
SIGNATURE				ROUTING SYMBOL		DATE			
14. CLEARANCES				15. COPY DISTRIBUTION					
16. RECORDS SCHEDULE ITEM THAT APPLIES TO REQUESTED FORM OR REPORT (If none, state "None")				17. STOCKING POINT					
18. ADDITIONAL DATA FOR FORMS (AND REPORT FORMS) ONLY (Attach FAA Form 1330-6 for Initial Distribution *)				19. APPROVALS					
A. FOR USE IN <input type="checkbox"/> Washington <input type="checkbox"/> Regional Off./ Centers <input type="checkbox"/> Field Facilities				B. PAPER					
Substance, Kind, Color				C. PRINT					
Width Length				Color of Ink					
				Face Only					
				Head to Head					
				Head to Foot					
				Head to Side					
D. ORDERING DATA				E. ADDITIONAL SPECIFICATIONS					
Issue Unit (Sheet, set, etc.)				Ship to					
1/U's for Initial Distrib.				1/U's for Stocking Points					
1/U's Regd. Mthly				Total Issue Units Wanted					
Date forms wanted or Using Points									
19. APPROVALS				Reports Approving Officer					
Date				Reports Management (Control) Officer					
Rpt. Symb.				Forms Officer					
Date				Forms Management Officer					
Rpt. Symb.				Date					
Rpt. Symb.				Rpt. Symb.					

APPENDIX 2. INSTRUCTIONS FOR COMPLETING STANDARD FORM 83, REQUEST FOR OMB REVIEW

Standard Form 83A

(Revised September 1983)

Instructions for Standard Form 83

Request for OMB Review

Instructions for Requesting OMB Review Under Executive Order 12291 or Approval of a Collection of Information Under the Paperwork Reduction Act and 5 CFR 1320

General Instructions

For requests for review under E.O. 12291, complete Parts I and II of the SF 83, sign the Certification for Regulatory Submissions and send three copies of the completed SF 83, three copies of the draft regulation and three copies of any supporting material (including a Regulatory Impact Analysis if required) to OMB.

For requests for approval of a collection of information, complete Parts I and III (skip Part II), sign the Paperwork Certification and send three copies of the completed SF 83 and three copies of the supporting statement and forms, questions, or other instruments for which approval is requested, to OMB. The submission must include the relevant portion of any statute, regulation, handbook or other document that establishes a recordkeeping, reporting, or disclosure requirement, and copies of the notice submitted to the *Federal Register* informing the public that OMB approval is being sought. (This notice is not required for collections of information in proposed rules submitted for OMB review under 5 CFR 1320.13.)

OMB will not accept a submission unless all entries in Part I and, as appropriate, Part II or Part III are completed and the SF 83 has been properly signed. Submissions for E.O. 12291 review must be signed by the appropriate program official and by the official responsible for reviewing submissions of regulations to OMB (OMB's authorized regulatory contact) or that person's designee. Submissions for approval of a collection of information must be signed by the appropriate program official and by either the agency head, the Senior Official designated under the Paperwork Reduction Act and 5 CFR 1320.8, or that person's designee.

Requests should be submitted to:

Office of Information and Regulatory Affairs
Office of Management and Budget
Attention: Docket Library, Room 3201
Washington, DC 20503

Note: Do not request review under E.O. 12291 and approval under the Paperwork Reduction Act and 5 CFR 1320 on the same SF 83.

Instructions for Part I

1. Department/Agency and Bureau/Office Originating Request.—Provide both the name of the department or agency and the name of the bureau or office within the department which is issuing the regulation or proposing the collection of information.

2. Agency Code.—OMB has assigned a four digit numerical code to each agency and will supply it upon request.

3. and 4.—Self explanatory.

5. Specific legal authority.—Cite title and section of the United States Code. If a regulation or a collection of information is authorized by more than one statute or section, cite the principal legal authority.

If a regulation or a collection of information is mandated or authorized by a law which has not yet been codified into the United States Code, cite the Public Law number. If a regulation or a collection of information is authorized only by Executive Order, cite the E.O. number.

6. Affected Public.—Check all categories that apply. Note that if a significant effect on small business is predicted, the Regulatory Flexibility Act requires agencies to evaluate alternatives to mitigate this impact and 5 CFR 1320.6(h) requires agencies to take all practical steps to develop separate and simplified collection of information requirements for small businesses and other small entities. SBA's Office of Advocacy is available to assist agencies in evaluating the impact of their proposal on small business. OMB may ask for additional information on the specific industries affected (e.g., by Standard Industrial Classification) or other relevant data.

Instructions for Part II

General Instructions

Executive Order 12291 defines a regulation as any "agency statement of general applicability and future effect designed to implement, interpret, or prescribe law or policy, or describing the procedure or practice requirements of an agency." This includes more than proposed and final rules. Statements of policy that appear in the *Federal Register* as notices rather than rules, as well as guideline documents and policy statements that are not published in the *Register*, are to be submitted for OMB review if they set or interpret agency policy.

The following are not subject to OMB E.O. 12291 review:

- a. Regulations issued by the—
General Accounting Office,
Federal Election Commission,
Independent regulatory
commissions as defined in
44 U.S.C. 3502(10),
Facilities and laboratories owned by
the Federal Government but
operated by contractors, and
Governments of the District of
Columbia, and U.S. territories
and possessions.
- b. Regulations issued with respect to a
military or foreign affairs function of the
United States.
- c. Regulations related to internal agency
organization, management or personnel.

Specific Instructions

- 7. Regulation Identifier Number (RIN).**—This is the number that the Regulatory Information Service Center assigns to a regulatory action when it is submitted for publication in the *Unified Agenda of Federal Regulations*. If a RIN has not been assigned to this regulatory action, check "None assigned."
- 8. Type of Submission (check one in each category).**—

Classification

- 1. and 2.**—Check "major" if the regulation is likely to result in:

An annual effect on the economy of \$100 million or more; or
A major increase in costs or prices for consumers, individual industries, Federal, State, or local governments, or geographic regions; or

Significant adverse effects on competition, employment, investment, productivity, innovation, or on the ability of the U.S. based enterprises to compete with foreign based enterprises in domestic or export markets.
Otherwise, check "nonmajor."

Stage of Development

Self explanatory for regulations issued through informal rulemaking.

A guideline document or other regulation which is not issued through informal rulemaking should be submitted as:

1. *Proposed or draft.*—If, following OMB review, the regulation will be circulated outside the agency for comment, and then revised and resubmitted to OMB.

2. *Final or interim final, with prior proposal.*—If an earlier version of the regulation had been reviewed by OMB, circulated for outside comment, revised, and is now ready for final issuance.

3. *Final or interim final, without prior proposal.*—If the regulation will proceed directly from internal agency review to OMB for review before final issuance without being circulated for outside comment and appropriate revision.

Type of Review Requested

1. *Standard.*—Refers to the normal process of submitting a proposed or final regulation to OMB for review under section 3 of E.O. 12291.

2. *Pending.*—Refers to OMB's review, under section 7 of E.O. 12291, of rules which were issued in final (or proposed) form before February 17, 1981, and which are about to take effect (or become final). Agencies should review section 7, paragraphs (b), (d), and (f) of the Executive Order for further instructions.

3. *Emergency.*—Refers to OMB's review, under section 8(a)(1) of E.O. 12291, of regulations which the agency has chosen to publish without prior OMB review in order to respond to an emergency situation.

4. *Statutory or judicial deadline.*—Refers to OMB's review, under section 8(a)(2) of E.O. 12291, of regulations which the agency has chosen to publish without prior OMB review in order to avoid violating a statutory or judicial deadline.

9. *CFR Section Affected.*—Cite as specifically as possible the section of the *Code of Federal Regulations* which will be affected by the regulation being submitted. If the regulation affects more than one section of the CFR, cite to the principal section affected. If the regulation is not to be published in the *Federal Register* or otherwise codified into the CFR (and therefore will not actually revise CFR text), cite the CFR section which is most closely related to the submission.

10. Self explanatory.

11. *If a Major Rule, Is There a Regulatory Impact Analysis Attached?*—A regulatory impact analysis must accompany the submission of a major regulation unless OMB has waived the analysis.

12. (OMB USE ONLY)

Instructions for Part III General Instructions

These instructions should be used in conjunction with 5 CFR 1320, which provides information on coverage, definitions, and other matters of procedure and interpretation under the Paperwork Reduction Act of 1980. If you have any questions, contact the OMB Desk Officer for your agency.

Page 2

Specific Instructions

13. *Abstract.*—Provide a statement of not more than 50 words covering the agency's need for the information, the uses to which it will be put, and a brief description of the respondents.

14. *Type of Information Collection.*—Check only one category. If the collection of information is not explicitly set forth in a rule, check either 1 or 2. Regular submissions (1) are those which are reviewed under 5 CFR 1320.12. Emergency submissions (2) must include the certification required by 5 CFR 1320.17(a). In addition, agencies requesting emergency clearance must provide the information required by 1320.17(b) and (c). If the submission does not meet the requirements for an emergency clearance, the agency's Clearance Officer may ask the OMB Desk Officer for an expedited review.

If the collection of information is explicitly set forth in a rule, check one of the categories 3 through 6. If it is in an existing regulation to which no change is proposed, check 3. If it is submitted with a Notice of Proposed Rulemaking (NPRM) under 5 CFR 1320.13, check 4. If it is contained in a final regulation for which an NPRM had been published, check 5. If the collection of information is contained in a final or interim final rule for which an NPRM had not been published, check 6A or 6B. (See above for a discussion of material to be submitted with requests for emergency clearances.)

15. Type of Review Requested (check only one category).—

1. *New.*—If this collection of information has not previously been conducted or sponsored by the agency.

2. *Revision.*—If this collection of information is currently approved by OMB, and the agency wishes to make a substantive or material change in the collection, its burden estimate, or the use to which the information is to be put.

3. *Extension.*—If this collection of information is currently approved by OMB, and the agency wishes only to extend the approval past the currently assigned expiration date without making any other change in the collection of information or its burden estimate.

4. *Reinstatement.*—If this collection of information previously held OMB approval, but the approval has expired or was withdrawn before this submission was made.

5. *Existing collection in use without an OMB control number.*—If this collection of information is currently in use but does not have a currently valid OMB control number.

16. *Agency Report Form Number(s).*—Supply any identifying numbers or codes that the agency has assigned to the collection of information. If the instrument is a Standard or Optional Form, or is being proposed for such use, the submission to OMB by the agency must be through the General Services Administration (see 5 CFR 1320.15 for further information about this procedure).

17. and 18. *Annual Reporting or Disclosure Burden, and Annual Recordkeeping Burden.*—The definition of burden, and a discussion of burden elements, is contained in 5 CFR 1320.7(b).

In general, burden includes, but is not limited to, the time required to:

- Read or hear any instructions;
- Generate the information;
- Process, compile, and review the information; and
- Record, disclose, or report the information.

The burden of making any required reports or disclosures should be reported at question 17 and should include the burden of keeping records necessitated by the disclosure or report. The burden of keeping any required records not necessitated by a disclosure or reporting requirement should be reported at question 18.

18-4.—If the recordkeeping retention period is not specified as a number of years - for example, if records are to be retained for the life of a given machine - enter a point estimate (not a range) at 18-4, and explain the estimate in the supporting statement.

For collections of information contained in *new proposed rules*, enter zero (0) on the SF 83 and describe the burden to be imposed, if the regulation becomes final, in the supporting statement. If the *proposed rule revises* an existing collection of information, enter the burden level for the existing requirement on the SF 83 and explain the burden impact of the revision in the supporting statement. In both cases, at the time of publication of the final regulation, the agency must inform OMB of the actual burden of the collection of information.

If several collections of information are submitted to OMB for approval in a single package (covered by an SF 83), describe the burden for each collection in the supporting statement, and provide an estimate of the burden for the entire submission at questions 17 and 18.

19. Total Annual Burden.—

1. Enter the sum of the annual reporting burden (17-5) and the annual recordkeeping burden (18-3) on this line.

2. Enter the burden (hours) currently approved by OMB for this collection of information.

- Enter zero (0) for any collection whose OMB approval has expired.
- Enter zero (0) for a new submission.

3. Enter the difference between 19-1 and 19-2 on this line. The difference, if any, must be explained at lines 19-4 and/or 19-5.

4. *Program Change.*—is a change in burden which is the result of deliberate action by the Government. Examples of program changes are:

- Adding, dropping, or changing questions.
- Changing the frequency of a collection of information.
- Requiring or requesting more, fewer, or different respondents to record, retain, disclose, or report information.
- Changing eligibility requirements for an assistance program in a way that changes the number of applicants or potential applicants for the benefit.

5. Adjustment.—is a change in burden which is not the result of deliberate agency action. Examples of adjustments are:

- Corrections of errors in burden estimates.
- Corrections of the record to provide an estimate of the burden for a collection of information currently in use without an OMB control number.
- Reestimates in burden due to factors outside the agency's control, such as population changes, a change in the number of firms in an industry, or a change in use because a different number of respondents decide to respond or to make use of the collection of information instrument.

20. Current (or most recent) OMB Control Number or Comment Number.—

If the collection of information had previously received or now has an OMB control number or comment number, enter the number. If the collection has had different numbers, or has had both a control number and a comment number, enter the number that was most recently assigned.

21. Requested Expiration Date.—Enter the month and year through which OMB approval is requested. The date should be no more than three years from the expected date of OMB approval. For "emergency" approvals submitted under the provisions of 5 CFR 1320.17 the requested date should not be more than **90 days** after the date of OMB's receipt of the agency's submission.

22. Purpose.—

1. Application for benefits.—Is a collection of information which a person completes in order to participate in, receive, or qualify for a grant, financial assistance, or other benefit (including employment) from a Federal agency or program.

2. Program evaluation.—Is a formal assessment, through objective measures and systematic analysis, of the manner and extent to which Federal programs achieve their objectives or produce other significant effects. It is used to assist internal agency management and policy making.

3. General purpose statistics.—Are data collected chiefly for use by the public or for general government use, without primary reference to the policy or program operations of the agency collecting the

data. This category should also be used to indicate activities required to design, manage, or evaluate general purpose statistical programs.

4. Regulatory or compliance.—Are collections of information undertaken for the purpose of measuring or enforcing compliance with laws or regulations. The category includes collections of information incidental to regulation, such as applications for waiver and exemptions. Applications for licenses, certificates, and the like, are also included in this category.

5. Program planning or management.—Includes all collections of information (other than program evaluation and audits) relating to progress reporting and grants management, financial and supply management, procurement and quality control, and other collections of administrative information that do not fit in any other category. This category also includes surveys and other collections of information used to develop new regulations or to review existing regulations.

6. Research.—Refers to collections of information to further the course of scientific or medical research, rather than for a specific program purpose.

7. Audits.—Refers to collections of information conducted for the purpose of verifying the accuracy of accounts and records.

23. Frequency of Recordkeeping or Reporting.—

1.—If the collection of information request or requirement explicitly includes a recordkeeping requirement, check this item. If the collection of information also includes a disclosure or reporting component, check the appropriate item 2 through 9.

2 through 9.—For collections of information that involve reporting, check the frequency of reporting that is requested or required of a respondent. If the reporting is on "an event" basis, check "on occasion" (item 2). Also check item 2 for all disclosure requirements.

24. Respondent's Obligation to Reply.—

1. Voluntary.—Means that response is entirely discretionary and has no direct effect on any benefit or privilege for the respondent.

2. Required to obtain or retain a benefit.—Means that the response is elective, but is required to obtain or retain a benefit. This includes licensing and permit requirements.

3. Mandatory.—Means that the respondent must reply or face civil or criminal sanctions. OMB will recognize a collection of information as being mandatory only if a statute expressly:

- Requires respondents to provide the information, or
- Authorizes an agency to require the respondents to provide the information.

If more than one status applies (for example, the first page of a form is mandatory but the second page is optional), check the box which corresponds to the strongest obligation to respond. (Mandatory is the strongest obligation, and voluntary is the weakest.)

25. Self explanatory.

26. Does the Agency Use Sampling to Select Respondents or Does the Agency Recommend or Prescribe the Use of Sampling or Statistical Analysis by Respondents?—Check "Yes" if information is collected from a subset of all potential respondents on the basis of a selection made by the agency, and the results are used to infer the characteristics of the whole from the sample. Also check "Yes" if the respondents are asked or required to use similar sampling or other statistical techniques in generating or collecting the information requested or required by this collection.

27. Regulatory Authority for the Information Collection.—If the regulatory authority is contained in an existing regulation, cite as specifically as possible to the principal section of the *Code of Federal Regulations* which states the requirement. If the requirement is contained in a regulation that has not yet been codified into the CFR, cite the final rule and provide the date it appeared in the *Federal Register*.

A supporting statement, as described on page 4, must accompany each request for approval of a collection of information.

FIGURE 1. SAMPLE STANDARD FORM 83 (FRONT)

Request for OMB Review

Standard Form **83**
(Rev. September 1983)

Important

Read instructions before completing form. Do not use the same SF 83 to request both an Executive Order 12291 review and approval under the Paperwork Reduction Act.

Answer all questions in Part I. If this request is for review under E.O. 12291, complete Part II and sign the regulatory certification. If this request is for approval under the Paperwork Reduction Act and 5 CFR 1320, skip Part II, complete Part III and sign the paperwork certification.

Send three copies of this form, the material to be reviewed, and for paperwork—three copies of the supporting statement, to:

Office of Information and Regulatory Affairs
Office of Management and Budget
Attention: Docket Library, Room 3201
Washington, DC 20503

PART I.—Complete This Part for All Requests.

1. Department/agency and Bureau/office originating request	2. Agency code
3. Name of person who can best answer questions regarding this request	Telephone number ()
4. Title of information collection or rulemaking	
5. Legal authority for information collection or rule (cite United States Code, Public Law, or Executive Order) ____ USC _____, or _____	
6. Affected public (check all that apply)	
1 <input type="checkbox"/> Individuals or households	3 <input type="checkbox"/> Farms
2 <input type="checkbox"/> State or local governments	4 <input type="checkbox"/> Businesses or other for-profit
5 <input type="checkbox"/> Federal agencies or employees	6 <input type="checkbox"/> Non-profit institutions
7 <input type="checkbox"/> Small businesses or organizations	

PART II.—Complete This Part Only if the Request is for OMB Review Under Executive Order 12291

7. Regulation Identifier Number (RIN) _____, or, None assigned <input type="checkbox"/>		
8. Type of submission (check one in each category)	Stage of development	Type of review requested
Classification		
1 <input type="checkbox"/> Major	1 <input type="checkbox"/> Proposed or draft	1 <input type="checkbox"/> Standard
2 <input type="checkbox"/> Nonmajor	2 <input type="checkbox"/> Final or interim final, with prior proposal	2 <input type="checkbox"/> Pending
	3 <input type="checkbox"/> Final or interim final, without prior proposal	3 <input type="checkbox"/> Emergency
		4 <input type="checkbox"/> Statutory or judicial deadline
9. CFR section affected ____ CFR _____		
10. Does this regulation contain reporting or recordkeeping requirements that require OMB approval under the Paperwork Reduction Act and 5 CFR 1320? <input type="checkbox"/> Yes <input type="checkbox"/> No		
11. If a major rule, is there a regulatory impact analysis attached? <input type="checkbox"/> Yes <input type="checkbox"/> No		
If "No," did OMB waive the analysis? <input type="checkbox"/> Yes <input type="checkbox"/> No		

Certification for Regulatory Submissions

In submitting this request for OMB review, the authorized regulatory contact and the program official certify that the requirements of E.O. 12291 and any applicable policy directives have been complied with.

Signature of program official	Date
Signature of authorized regulatory contact	Date

12. (OMB use only)

FIGURE 2. SAMPLE STANDARD FORM 83 (BACK)

PART III. — Complete This Part Only if the Request is for Approval of a Collection of Information Under the Paperwork Reduction Act and 5 CFR 1320.

13. Abstract — Describe needs, uses and affected public in 50 words or less

14. Type of information collection (check only one)

*Information collections not contained in rules*1 ☐ Regular submission2 ☐ Emergency submission (certification attached)*Information collections contained in rules*3 ☐ Existing regulation (no change proposed)

6 Final or interim final without prior NPRM

7 Enter date of expected or actual Federal Register publication at this stage of rulemaking (month, day, year): _____

4 ☐ Notice of proposed rulemaking (NPRM)A ☐ Regular submission5 ☐ Final. NPRM was previously publishedB ☐ Emergency submission (certification attached)

15. Type of review requested (check only one)

1 ☐ New collection4 ☐ Reinstatement of a previously approved collection for which approval has expired2 ☐ Revision of a currently approved collection5 ☐ Existing collection in use without an OMB control number3 ☐ Extension of the expiration date of a currently approved collection without any change in the substance or in the method of collection

16. Agency report form number(s) (include standard/optional form number(s))

22. Purpose of information collection (check as many as apply)

17. Annual reporting or disclosure burden

1 Number of respondents

2 Number of responses per respondent

3 Total annual responses (line 1 times line 2)

4 Hours per response

5 Total hours (line 3 times line 4)

1 ☐ Application for benefits2 ☐ Program evaluation3 ☐ General purpose statistics4 ☐ Regulatory or compliance5 ☐ Program planning or management6 ☐ Research7 ☐ Audit

18. Annual recordkeeping burden

1 Number of recordkeepers

2 Annual hours per recordkeeper

3 Total recordkeeping hours (line 1 times line 2)

4 Recordkeeping retention period

years

23. Frequency of recordkeeping or reporting (check all that apply)

1 ☐ Recordkeeping**Reporting**2 ☐ On occasion3 ☐ Weekly4 ☐ Monthly5 ☐ Quarterly6 ☐ Semi-annually7 ☐ Annually8 ☐ Biennially9 ☐ Other (describe): _____

19. Total annual burden

1 Requested (line 17-5 plus line 18-3)

2 In current OMB inventory

3 Difference (line 1 less line 2)

Explanation of difference

4 Program change

5 Adjustment

20. Current (most recent) OMB control number or comment number

24. Respondents' obligation to comply (check the strongest obligation that applies)

1 ☐ Voluntary2 ☐ Required to obtain or retain a benefit3 ☐ Mandatory

21. Requested expiration date

25. Are the respondents primarily educational agencies or institutions or is the primary purpose of the collection related to Federal education programs? ☐ Yes ☐ No26. Does the agency use sampling to select respondents or does the agency recommend or prescribe the use of sampling or statistical analysis by respondents? ☐ Yes ☐ No

27. Regulatory authority for the information collection

_____ CFR _____ ; or _____ FR _____ ; or Other (specify): _____

Paperwork Certification

In submitting this request for OMB approval, the agency head, the senior official or an authorized representative, certifies that the requirements of 5 CFR 1320, the Privacy Act, statistical standards or directives, and any other applicable information policy directives have been complied with.

Signature of program official

Date

Signature of agency head, the senior official or an authorized representative

Date

FIGURE 3. GENERAL INSTRUCTIONS FOR PREPARING THE SUPPORTING STATEMENT FOR OMB CLEARANCE

Supporting Statement for Requests for OMB Approval Under the Paperwork Reduction Act and 5 CFR 1320

General Instructions

A supporting statement must accompany each request for approval of a collection of information. The statement must be prepared in the format described below, and all statements must contain the information specified in Section A below. If an item is not applicable, provide a brief explanation. If Section B does not apply, indicate that the collection does not employ statistical methods.

OMB reserves the right to require the submission of additional information with respect to any request for approval.

Specific Instructions

A. Justification.—Requests for approval shall:

1. Explain the circumstances that make the collection of information necessary. Include identification of any legal or administrative requirements that necessitate the collection.
A copy of the appropriate section of each statute and of each regulation mandating or authorizing the collection of information should be attached to the supporting statement.
2. Indicate how, by whom, and for what purpose the information is to be used and the consequence to Federal program or policy activities if the collection of information was not conducted.
3. Describe any consideration of the use of improved information technology to reduce burden and any technical or legal obstacles to reducing burden.
4. Describe efforts to identify duplication.
5. Show specifically why any similar information already available cannot be used or modified for use for the purpose(s) described in 2.
6. If the collection of information involves small businesses or other small entities, describe the methods used to minimize burden.
7. Describe the consequence to Federal program or policy activities if the collection were conducted less frequently.
8. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with the guidelines in 5 CFR 1320.6.
9. Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.
Consultation with representatives of those from whom information is to be obtained, or those who must compile records, should occur at least once every three years—even if the collection of information activity is the same as in prior periods. There may be circumstances that mitigate against consultation in a specific situation. These circumstances should be explained in the supporting statement.

In the supporting statement, provide:

- a. The names and telephone numbers of those consulted and the year in which the consultation took place. Indicate the agencies, companies, State or local governments, or other organizations represented by those consulted.
 - b. A summary of any major problems that could not be resolved during consultation.
 - c. A description of other public contacts and opportunities for public comment, and a summary of the comments received.
10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.
 11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.
 12. Provide estimates of annualized cost to the Federal Government and to the respondents. Also provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without the paperwork burden.
 13. Provide estimates of the burden of the collection of information. The statement should:
 - Provide number of respondents, frequency of response, annual burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not make special surveys to obtain information on which to base burden estimates. Consultation with a few potential respondents is desirable. If the burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated burden, and explain the reasons for the variance.
 - If the request for approval is for more than one form, provide burden estimates for each form for which approval is sought and summarize the burdens on the SF 83. If only one form is submitted, you need not duplicate the information entered on the SF 83.
 - If the proposed collection of information was not included in the agency's Information Collection Budget (ICB) or if the burden shown on the SF 83 is different from that in the ICB, explain the difference.
 14. Explain reasons for changes in burden, including the need for any increase.

15. For collections of information whose results are planned to be published for statistical use, outline plans for tabulation, statistical analysis, and publication. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.

B. Collections of Information Employing Statistical Methods.—Descriptions of collections of information submitted for approval that employ statistical methods shall contain the following information. References to stratification may be ignored if that technique is not used.

If the collection of information does not employ statistical methods, so indicate.

If the collection employs statistical methods:

1. Describe (including numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, State and local government units, households or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. The tabulation should also indicate expected response rates for the collection as a whole. If the collection had been conducted previously, the actual response rate achieved during the last collection should be noted.
2. Describe the procedures for the collection of information including:
 - Statistical methodology for stratification and sample selection,
 - Estimation procedure,
 - Degree of accuracy needed for the purpose described in the justification,
 - Unusual problems requiring specialized sampling procedures, and
 - Any use of periodic (less frequent than annual) data collection cycles to reduce burden.
3. Describe methods to maximize response rates, and to deal with issues of nonresponse. The accuracy and reliability of information collected must be shown to be adequate for intended uses.
For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe studied.
4. Describe any tests of procedures or methods to be undertaken.
Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from ten or more respondents. A proposed test or set of tests may be submitted for approval separately or in combination with the main collection of information.
5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.

APPENDIX 3. PREPARATION OF INTERAGENCY CLEARANCE PACKAGE

There are two forms used in preparing an interagency clearance package.

1. SF-360, Request for Clearance of an Interagency Reporting Requirement. This form is self explanatory.

2. OF-101, Summary Worksheet for Estimating Reporting Cost. This form is self explanatory.

The rest of the package would be a narrative justification for the information collection.

INSTRUCTIONS FOR PREPARING NARRATIVE JUSTIFICATIONS FROM THE FEDERAL INFORMATION RESOURCES MANAGEMENT REGULATION**§ 201-45.606 Justifying interagency reporting requirements.**

A justification statement, signed by the official who requested the reporting requirement, shall be attached to Standard Form 360. The justification shall:

(a) State why the report is needed and how it will be used;

(b) Describe the benefits (in dollar value if possible) expected from the information and assess the probability that the benefits will be achieved;

(c) Describe how the program will be affected if the information is not obtained;

(d) Identify any responding agencies that took part in designing, testing, and estimating the cost of the proposed report;

(e) Identify the agencies that agree or do not agree with the proposed report and summarize the reasons why;

(f) Explain how the reporting costs shown on the Standard Form 360 were derived (see § 201-45.607); and

(g) Describe other reporting plans considered, including: (1) Frequency of reporting, (2) use of exception reporting, (3) use of sampling techniques, (4) selection of respondents, (5) obligation of respondents to comply, (6) amount of detail, (7) format of report, and (8) method of transmission.

§ 201-45.607 Cost estimates.

GSA needs cost estimates to decide if the expected value of the information is worth the cost of obtaining it. Agencies shall use the following cost alternative(s) to identify the method(s)

used to prepare the reporting cost estimate. Criteria for these costing alternatives are contained in the GSA information resources management handbook, Reports Management (see Appendix C of the looseleaf edition of the FIRMR). Supporting documentation and worksheets for all cost estimates must be available for GSA review. GSA review may include the appropriateness of the agency costing alternative selection.

§ 201-45.608 Discontinuing interagency reporting requirements.

If an interagency report is no longer needed, the agency shall notify GSA and responding agencies by directive or correspondence. GSA will discontinue the requirement on the expiration date unless it receives a request for an extension under § 201-45.605.

§ 201-45.609 Special provisions.**§ 201-45.609-1 Exemptions.**

(a) The following interagency reports requirements are exempted from Subpart 201-45.6: (1) Legislative branch reports, (2) Office of Management and Budget (OMB) and other Executive Office of the President reports, and (3) judicial branch reports required by court order or decree. However, interagency reports required by Federal agencies to respond to exempted requirements are subject to clearance under this subpart.

(b) Questions concerning the applicability of these exemptions shall be directed to the General Services Administration (KLSO), Washington, DC 20405.

FIGURE 1. SAMPLE STANDARD FORM 360

REQUEST FOR CLEARANCE OF AN INTERAGENCY REPORTING REQUIREMENT		1. FOR GSA USE	
INSTRUCTIONS Submit original and one copy together with one copy each of the proposed report, supporting directive and justification statement to GSA, NARS, Office of Records Management. See FPMR (CFR 41) 101-11.11 for further instructions.		a. Interagency Report Control No. _____ b. Currently assigned expiration date: _____	
2. NAME, ADDRESS AND ZIP CODE OF REQUESTING AGENCY		3. TITLE OF PROPOSED REPORTING REQUIREMENT	
4. TYPE OF REQUEST a. <input type="checkbox"/> NEW b. <input type="checkbox"/> REVISION c. <input type="checkbox"/> EXTENSION (<i>No change</i>) d. <input type="checkbox"/> WAIVER	5. FREQUENCY OF USE a. <input type="checkbox"/> SINGLE TIME b. <input type="checkbox"/> ON OCCASION c. <input type="checkbox"/> WEEKLY d. <input type="checkbox"/> MONTHLY e. <input type="checkbox"/> QUARTERLY f. <input type="checkbox"/> SEMI-ANNUALLY g. <input type="checkbox"/> ANNUALLY h. <input type="checkbox"/> OTHER (<i>Specify</i>)	6. REVISIONS AND EXTENSIONS a. Currently assigned Interagency Report Control No. _____ b. Currently assigned expiration date: _____	
7. CANCELED OR MODIFIED REPORTS OR FORMS (<i>List by title and Interagency Report Control or OMB Approval Number any Reports and Forms to be canceled or modified by this Interagency Report</i>)			
8. SUMMARY OF ESTIMATED REPORTING WORKLOAD a. Number of responding agencies b. Number of times this report submitted annually by each responding agency c. Total number of reports submitted annually (a X b) (<i>Items d and e apply to Interagency Public Reports only</i>) d. Average number of man-hours required to prepare and transmit one report e. Total number of man-hours required to prepare and transmit reports annually (c X d)			
9. SUMMARY OF ESTIMATED REPORTING COSTS	REQUIRING AGENCY (Col. 1)	RESPONDING AGENCIES (Col. 2)	TOTAL (Col. 1+2)
a. Developmental costs	\$	\$	\$
b. Annual operational costs	XXXXXXXXX	\$	\$
c. Annual user costs	\$	XXXXXXXXX	\$
10. SIGNATURE OF INTERAGENCY REPORTS COORDINATOR	DATE		
FOR GSA USE			
1. DISPOSITION OF REQUEST BY GSA, NARS, OFFICE OF RECORDS MANAGEMENT a. <input type="checkbox"/> APPROVED b. <input type="checkbox"/> DISAPPROVED (<i>See attachment</i>) c. <input type="checkbox"/> RECOMMENDED MODIFICATION (<i>See attachment</i>)		REMARKS	
12. SIGNATURE OF INTERAGENCY REPORTS MANAGEMENT OFFICER		DATE	

6/6/89

FIGURE 2. SAMPLE OPTIONAL FORM 101

SUMMARY WORKSHEET FOR ESTIMATING REPORTING COSTS							
REPORT SYMBOL		REPORT TITLE		ESTIMATE PREPARED BY		DATE	
FACTORS		COSTS (\$)					
REPORTING CATEGORIES	REPORTING ACTIVITIES	DIRECT PERSONNEL (a)	OVERHEAD % of column (a) (b)	DIRECT EQUIPMENT (c)	DIRECT MATERIAL (d)	OTHER DIRECT COSTS (e)	TOTAL (a+b+c+d+e) (f)
DEVELOPMENTAL COSTS	1. Specification of Reporting Requirement						
	2. Analysis of Reporting Requirement						
	3. Design of Reporting System						
	4. Installation of Reporting System						
	5. DEVELOPMENTAL COSTS (Add totals in column f)						
OPERATIONAL COSTS	6. Data Collection						
	7. Data Processing						
	8. Data Transmission						
	9. OPERATIONAL COSTS FOR ONE REPORT (Add totals in column f)						
	10. ANNUAL OPERATIONAL COSTS (Cost for one report multiplied by frequency per year)						
USER COSTS	11. Refining, Interpreting, and Analyzing Information Received						
	12. Reading, Reviewing, Discussing, and Documenting Information Presented						
	13. USER COSTS FOR ONE REPORT (Add totals in column f)						
	14. ANNUAL USERS COST (Cost for one report multiplied by frequency per year)						
NOTE: (Estimates of reporting costs should be prepared in accordance with GUIDE TO ESTIMATING REPORTING COSTS which is issued by GSA/NARS/NR)							

OPTIONAL FORM 101
FEBRUARY 1974
GENERAL SERVICES ADMINISTRATION

1340.1C
Appendix 3

